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CAB/2032/R

2020-10-13

INTERNATIONAL ELECTROTECHNICAL COMMISSION

CONFORMITY ASSESSMENT BOARD (CAB)

Meeting 48, Remote, 2020-11-09&10

SUBJECT

Agenda item 6.2

Report of CAB WG 11, *Systems Issues*

TERMS OF REFERENCE

WG 11 has the responsibility to undertake the following activities and make related recommendations for CAB approval:

- Develop the modifications to the Harmonized Basic Rules (HBR) necessary to ensure consistency among the CA Systems and with the IEC Statutes and Rules of Procedure and IEC CAB Policy;
- Review IEC CA Systems Supplements to the HBR;
- Act as the reviewing body for the CA System Rules of Procedure to evaluate their compliance with IEC Statutes and Rules of Procedure, CAB Policy and the identification of possible areas for harmonization or alignment, when appropriate, and give recommendations to the CA System(s);
- Identify opportunities for harmonization of documents and programs at the System level and across the CA Systems and act as the coordinator of the Subject Matter Experts from the Systems in an effort to harmonize or align aspects;
- Oversee the development of Harmonized Rules of Procedure and principles for standalone schemes;
- Considers issues associated with CA System membership of suspended IEC NCs;
- To consider the use by the IEC Systems of non-ISO and non-IEC documents.

BACKGROUND

WG 11 has not met since March 2019, in Singapore, but is planning to hold a web meeting in December 2020.

This report includes an executive summary of activities to date and plans moving forward as follows:

- Part A – Recommendations submitted to the CAB for formal approval
- Part B – Other items of interest
- Part C - CAB Decisions related to WG 11

EXECUTIVE SUMMARY

The Convenorship of this WG 11 was transferred from Mr Tim Duffy to Mr Marty Cole at the CAB meeting in June 2020, see CAB Decision 47/19.

No meetings of WG 11 have taken place in 2020, but one is planned for December 2020.

ACTION

Members of the CAB are invited to review this report and send their comments using the [CAB online commenting system](#), by **2020-10-30**, for further discussion at the CAB meeting if necessary.

Part A: Recommendations for approval

None

Part B: items of interest

None

Part C: CAB Decisions related to WG 11

CAB Decision 47/19 — Report from WG 11 – Systems Issues

The CAB thanked the WG 11 Convenor, Mr Tim Duffy, for his verbal report and for his many years as Convenor of this group, accepted his resignation and appointed Mr Marty Cole as the new Convenor.

CAB Decision 45/29 — CAB WG 11 on CA Systems issues

The CAB thanked the WG 11 Convenor, Mr Tim Duffy, for the working group report, CAB/1857/R, and for his verbal supplement, and decided to treat the recommendations therein as follows:

- A.1 & A.7 CAB approved the recommendations to modify clause 5.1 of IEC CA 01 as indicated and tasked the CAB Secretariat with its implementation.
- A.2 CAB approved this recommendation (for action by the CA Systems).
- A.3 CAB approved this recommendation and tasked the CAB Secretariat with conveying the proposed text modifications to the Council Board (CB) for inclusion in their CB Survey, further CAB tasked the CA Systems with conducting analysis of survey data they receive.
- A.4 CAB approved the recommendation that rules for Standalone Schemes were not currently needed and agreed to the proposed modification to the WG 11 terms of reference and tasked the CAB Secretariat with updating the website.
- A.5 CAB approved the recommendation that no action be taken at this time to develop a separate harmonized Personnel Competencies scheme document.
- A.6 CAB approved the recommendation that Supplements to IEC CA 01 proceed directly to publication when changes concerned simple editorial issues or version changes to IEC CA 01.
- A.8 CAB approved the recommendation and tasked CAB WG 11 with adapting IECEE OD-G-2062 as a CAB level document.
- A.9 CAB approved the recommendation that requests for new work items on the standards development side identify CA needs and requested that SMB investigate how this could be integrated into the ISO/IEC Directives.

CAB Decision 44/14 — CAB WG 11 on CA Systems issues

The CAB thanked the WG 11 Convenor, Mr Tim Duffy, for the working group report and for his verbal supplement.

CAB recognized the proposal by WG 11 to strengthen the language in IECCAB P01 Cl. 6.6, and tasked WG 10 with its implementation.

CAB decided to treat the recommendations as follows:

- A.1 CAB approved the recommendation to remove the following text from the current WG 11 ToR “Current task: to draft a high level document covering Peer Assessment.”

A.2 CAB approved the proposed modifications to the IEC CA01 Clause 5.1 text as given in the report and tasked the CAB Secretariat with updating the document and publishing an edition 2.3 for immediate implementation.
CAB then encouraged the WG to complete its outstanding tasks by the next CAB meeting in June 2019.

CAB Decision 44/20 — CAB ahG FinCom

The CAB thanked Convenor, Mr Pierre Selva, for the document, CAB/1798A/R and for his additional verbal report. CAB recognizing that there were three issues, took the following decisions on each:

- 1) In a separate decision CAB tasked the CA Systems with submitting budget and two years forecast to CAB, and declared this task as completed for this ahG. CAB then tasked WG 11 with proposing updated rules in the IEC CA 01 to reflect the two years forecast.
- 2) CAB encouraged this ahG to work closely with WG 10 TF MPIP on the relevant MPIP financial implications and to make proposals aligned with the time line given in CAB Decision 44/13.

CAB requested that this ahG provide a final recommendation on the issue of offsetting CA Systems' management committee meetings costs, by the next CAB meeting, in June 2019.

CAB Decision 44/26 — Stakeholder survey reports

CAB noting that each of the CA Systems have now generated stakeholder survey reports, as required by IEC CA 01 edition 2.1 and later, tasked WG 11 with reviewing the summaries, and with considering the need for additional columns or information, and providing a report to CAB for its June 2019 meeting.

CAB Decision 43/17— Report from CAB WG 11 – CA Systems' issues

The CAB thanked the Convenor, Mr Tim Duffy, for the report given in document CAB/1749A/R and decided, with the provision that this item would be re-discussed at the next meeting in June 2019, to treat, at this time, the recommendations given therein as follows:

- A.1: CAB approved the use of the spreadsheet (given on page 4 of the report) across the IEC CA Systems in the annual reporting by Member Bodies according to Clause 5.1 of IEC CA 01 Ed 2.0, and tasked the CA Systems Secretariats with its implementation, and providing a summary report to CAB by its June 2019 meeting.
- A.2: CAB approved the proposed additional text to Clause 5.1 of IEC CA 01 Ed 2.0 and its placement as indicated on page 3 of the report, and tasked the CAB Secretariat with updating the IEC CA 01 to include clause 7.6 in edition 2.1.

The CAB then urged WG 11 to move forward quickly to complete its remaining tasks by the June 2019 meeting and to give an update report at the next CAB meeting in Busan.

CAB Decision 42/10 — CAB WG 11 on CA Systems issues

The CAB thanked the WG 11 Convenor, Mr Tim Duffy, for his verbal report and, noting the successful development and approval of both the HBR Ed. 2.0 and the IEC CAB Policy of Peer Assessment Fundamentals, also noting both some longstanding tasks still remaining and some newly assigned tasks, provides the following priorities and time lines to WG 11:

- CAB Decision 37/13 (2015) – standalone scheme rules
Timeline: to provide an update at the June 2018 CAB meeting.
- CAB Decision 39/20 A.9 (2016) – concerning harmonisation of scheme rules for personnel competencies.
Timeline: to provide an update at the June 2018 CAB meeting.
- CAB Decision 41/38 (2017) – CA Systems/MB re-endorsement process and stakeholder involvement common process
Timeline: to be completed for approval at the June 2018 CAB meeting.

CAB Decision 41/24 — Report from CAB WG 11 – CA Systems’ issues

The CAB thanked the Convenor, Mr Tim Duffy, for the report given in document CAB/1619/R and decided to treat the recommendations given therein as follows:

- A.1: CAB approved the document titled IEC CAB Policy of Peer Assessment Fundamentals,
- A.2: CAB approved Version 2.0 of the IEC CA 01 - IEC Conformity Assessment Systems’ Basic Rules, with the modification to Clause 7.5 that was agreed by CAB during the meeting,
- A.3: CAB approved the implementation timeline for Version 2.0 of IEC CA 01- IEC Conformity Assessment Systems’ Basic Rules and the IEC CA Systems’ Supplements,
- A.4: CAB clarified the process for approving the IEC CA Systems’ Supplements to the IEC CA 01 Basic Rules by stating that, in accordance with the IEC Statutes and Rules of Procedure, approval of the IEC CA Systems’ Supplements is by CAB. In accordance with the WG 11 Terms of Reference, WG 11 will give its advice for CAB Members’ consideration in their vote.

The CAB then urged WG 11 to move forward quickly to complete its remaining tasks by the June 2018 meeting and to give an update report at the next CAB meeting in Vladivostok.

CAB Decision 41/38 — concerning CB Decision 2016/005 requiring NCs to reconfirm their CA Systems’ Member Bodies every five years.

The CAB, noting documents CAB/1592/DC and the subsequent comments received in CAB/1592A/CC, tasked WG 11 to coordinate with the CA Systems the development of a common process to implement the requirement that their respective Member Bodies demonstrate their reappointment by their respective NCs, each five years. An agreed process is expected to be submitted for CAB approval at its June 2018 meeting.